

PROPOSAL FORMS KIT

This Proposal Forms Kit contains the standard forms for the following items, all of which are required for the submission of a complete proposal in response to an Office of Space Science NASA Research Announcement (NRA), unless specifically excepted or revised in the NRA itself. {Common exceptions are that some NRA's may provide a Cover Page that includes space for an abbreviated Abstract (that also may include instructions for electronic submission) and/or that allows for a deferred submission of budget materials.}

- **CHECKLIST FOR PROPOSAL PREPARATION**
- **PROPOSAL COVER PAGE** - Note that two signatures are required, one of the proposing Principal Investigator and one of an official from the PI's institution who is authorized to commit the institution to the proposed work if the proposal is selected. The original of this page, with original signatures, must be affixed to the front of the original copy of the proposal, which should not be bound to allow ease of disassembly for reproduction by NASA.
- **PROPOSAL ABSTRACT** - A complete Abstract should include a statement of the central objectives of the proposed research, an outline of methods to be used in pursuing that research, the significance of the proposed work to NASA OSS interests, and a list of key, relevant published or in-press articles.
- **BUDGET SUMMARY** - Carefully note and follow the Instructions that start at the bottom of the page and continue on the next page. Failure to do so may seriously delay the awarding of the grant or contract by NASA should the proposal be recommended for selection. In addition to this form, the submitting organization may include its own budget forms in its own format and without regard to any page limit.
- **CURRENT AND PENDING SUPPORT** - Provide requested material for the Principal Investigator (and any key Co-Investigators).
- **CERTIFICATION FOR DRUG-FREE WORKPLACE** - Required with an institutional signature for all proposals except those from U.S. Federal institutions.
- **CERTIFICATION FOR DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITIES** - Required with an institutional signature for all proposals except those from U.S. Federal institutions.
- **CERTIFICATION REGARDING LOBBYING** - Required with an institutional signature for all proposals requesting cumulative funding in excess of \$100,000, except those from U.S. Federal institutions.
- **MAILING FORM UPDATE**

CHECKLIST FOR PROPOSAL PREPARATION

SUBMISSION OF NEW PROPOSAL

<input type="checkbox"/>	COVER PAGE (original signatures with original of proposal)
<input type="checkbox"/>	PI SIGNATURE
<input type="checkbox"/>	INSTITUTION AUTHORIZING SIGNATURE
<input type="checkbox"/>	PROPOSAL ABSTRACT (not to exceed one page per form)
<input type="checkbox"/>	TABLE OF CONTENTS (optional)
<input type="checkbox"/>	SCIENTIFIC/TECHNICAL DESCRIPTION (< specified page limit)
<input type="checkbox"/>	CURRICULUM VITAE (2 pp. for PI; 1 p. for each Co-I)
<input type="checkbox"/>	BUDGET SUMMARY AND DETAILS (per form)
<input type="checkbox"/>	BUDGET FOR EACH YEAR (per form)
<input type="checkbox"/>	FACILITIES AND EQUIPMENT (as appropriate)
<input type="checkbox"/>	CURRENT AND PENDING SUPPORT (for PI)
<input type="checkbox"/>	CERTIFICATION FORMS - only one signed copy of each with original proposal; U.S. Government institutions do not submit.
<input type="checkbox"/>	DRUG-FREE WORKPLACE
<input type="checkbox"/>	DEBARMENT, SUSPENSION & OTHER RESPONSIBILITIES
<input type="checkbox"/>	LOBBYING (if proposing for > \$100,000)
<input type="checkbox"/>	ORIGINAL AND COPIES TO NASA BY PROPOSAL DEADLINE

SUBMISSION FOR RENEWAL OF A MULTIPLE YEAR AWARD

<input type="checkbox"/>	COVER LETTER
<input type="checkbox"/>	PI ORIGINAL SIGNATURE
<input type="checkbox"/>	PROGRESS REPORT
<input type="checkbox"/>	BUDGET (if there are changes)
<input type="checkbox"/>	CERTIFICATION FORMS (only one signed copy of each)
<input type="checkbox"/>	DRUG FREE WORKPLACE
<input type="checkbox"/>	DEBARMENT, SUSPENSION & OTHER RESPONSIBILITIES
<input type="checkbox"/>	LOBBYING (if proposing cumulative funding of > \$100,000)
<input type="checkbox"/>	ORIGINAL AND COPIES TO TECHNICAL MONITOR

OSS PROPOSAL COVER PAGE

NRA #	NRA Title

Principal Investigator			
<i>Title</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Department			
Company/Institution			
Street Address		City/Town	
State	Zip/Postal	Country	
Telephone	Fax	E-Mail Address	
Principal Investigator's Signature			Date

Proposal Title

Co-Investigator(s) Name	Institution	E-mail

Institutional Endorsement

Name of Authorizing Official	
Title	
Institution	
Signature	Date

Budget Summary

	Year 1	Year 2	Year 3	Total Funding
Amount Requested				

PROPOSAL ABSTRACT

Principal Investigator			
<i>Title</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Proposal Title			

PROPOSAL BUDGET SUMMARY

FROM: _____ TO _____

Title Of Investigation:

Principal Investigator / Institution:

	A	(NASA USE ONLY)	
		B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	_____
2. Other Direct Cost:			
a. Subcontracts/grants	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Total Estimated Costs	_____	_____	XXXXXXXX
APPROVED BUDGET	XXXXXXXX	XXXXXXXX	_____

INSTRUCTIONS

1. Provide a complete budget summary sheet for year one and separate estimates **for each subsequent year.**
2. Recipient's estimated costs should be entered in Column A. Columns B and C are for NASA use only. Column C represents the approved grant budget.
3. Provide as attachments detailed computations of estimates in each cost category with narratives required to fully explain proposed costs. See definition of terms and details under "SPECIFIC COSTS" on next page.

SPECIFIC COSTS

1. Direct Labor (salaries, wages, and fringe benefits): Attachments should list number and titles of personnel, amounts of time to be devoted to the grant, and rates of pay.
2. Other Direct Costs:
 - a. Subcontracts: Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting.
 - b. Consultants: Identify consultants to be used, why they are necessary, the time they will spend on the project, and rates of pay (not to exceed the equivalent of the daily rate for Level IV of the Executive Schedule, exclusive of expenses and indirect costs).
 - c. Equipment: List separately. Explain the need for items costing more than \$5,000. Describe basis for estimated cost. General purpose equipment is not allowable as a direct cost unless specifically approved by the grant officer.
 - d. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
 - e. Travel: List proposed trips individually and describe their purpose in relation to the grant. Also provide dates, destination, and number of travelers where known.
 - f. Other: Enter the total of direct costs not covered by 2a through 2e. Attach an itemized list explaining the need for each item and the basis for the estimate.
3. Indirect Costs: Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
4. Other Applicable Costs: Enter total of other applicable costs with an itemized list explaining the need for each item and basis for the estimate.
5. Subtotal-Estimated Costs: Enter the sum of items 1 through 4.
6. Less Proposed Cost Sharing (if any): Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment.
7. Carryover Funds (if any): Enter the dollar amount of any funds that are expected to be available for carryover from the prior budget period. Identify how the funds will be used if they are not used to reduce the budget. NASA officials will decide whether to use all or part of the anticipated carryover to reduce the budget. Not applicable to 2nd-year and subsequent-year budgets submitted for the award of a multiple year grant.
8. Total Estimated Costs: Enter the total after subtracting items 6 and 7b from item 5.

CURRENT AND PENDING RESEARCH SUPPORT

Provide the following information for all current research support from all sources being conducted or currently proposed by the Principal Investigator:

- Name of Principal Investigator

A. Current Support

1. Project Title
2. Sponsoring agency or institution (including point of contact)
3. Period and amount of award
4. Commitment by PI in terms of Full Time Equivalent (FTE) Work Year

B. Pending Support (including renewal of multiple year awards)

1. Project Title
2. Sponsoring agency or institution (including point of contact)
3. Period and amount of award
4. Commitment by PI in terms of Full Time Equivalent (FTE) Work Year

C. Other institutions, including point of contact with telephone number, to which this proposal, or parts thereof, has been contemporaneously submitted for consideration of funding.

Certification Regarding Drug-Free Workplace Requirements
Grantees Other Than Individuals

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

This grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about -
 - The dangers of drug abuse in the workplace;
 - The grantee's policy of maintaining a drug-free workplace;
 - Any available drug counseling, rehabilitation, and employee assistance programs, and
 - The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
 - Abide by the terms of the statement; and
 - Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -
 - Taking appropriate personnel action against such an employee, up to and including termination; or
 - Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraph (a), (b), (c), (e), and (f).

Organization Name

PR/Award Number or Proposal Name

Name and Title of Authorized Representative

Signature

Date

**Certification Regarding
Debarment, Suspension, and Other Responsibility Matters
Primary Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Proposal Name

Name and Title of Authorized Representative

Signature

Date

Certification Regarding Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

Organization Name

PR/Award Number or Proposal Name

Name and Title of Authorized Representative

Signature

Date